

4.5 The XP System (Express P-1 Processing System) (Established 1985)

- About the System
 - What is the XP System?
 - Why is XP a High Performance P-1 Processing System?
 - Special Security Procedures are Required Prior to Authorized Use of XP System.
- Basics of How the System Works.
- Creating and Sending P-1s to the Personnel Cabinet Electronically.
 - How to Create (add) a P-1 and Send it to Personnel.
 - Enter Key Information
 - Create the First Screen
 - Create the Second Screen
 - Create the Third Screen
- How to Correct (Change) the P-1 if an Error is Found in the Batch Process.
 - Enter the Actions Created
 - Enter the Error Message Screen
- How to Look at or Delete a P-1.
- XP System Can Have Separate Points of Electronic P-1 Approval.

About the XP System (Express P-1 Processing) What is the XP System?

For agencies that choose to do so, the XP System allows you to enter P-1s from on-line and have such P-1s transmitted electronically to the Personnel Cabinet. Presently, only certain P-1s can be entered into this system. Other types of P-1s will be added to the system as the capability for processing them is developed. Presently, the types of P-1s and associated nature of action codes that can be used are as follows:

A11	Appointment	G42	Stop Shift/Weekend Premium
A12	No service break	G61	Chg Pay Type-Hourly to Salary
A13	No service break, chg co. no.	G62	Chg Pay Type-Salary to Hourly
A14	Previous service, same agency	K1_	Suspension
A15	Up to Midpoint of Grade	M11	Social Security Number Change
A16	Minimum of Grade – Returning Retirees	M21	Change Employee Status (Item #28)
A17	Up to Midpoint of Grade - Returning Retirees	M22	Change Employment Type (Item #29)
A21	Reinstatement, 12 Month Break	M23	Chg Position Merit Status (Item #31)
A22	Reinstatement, Worked within 12 Months	M24	Change Work County (Item #44)
A23	Reinstatement by board/court ord.	M25	Change Fund Source (Item #32)
A31	Re-employment	M26	FLSA/OT Change
C11	Reclass, higher grade & base	M27	Retirement Code Change
C13	Reclass, same grade & salary	M31	Increment Date Change
C14	Reclass, lower grade, same salary	M32	Name Change
C21	Reallocation, higher grade & base	M33	Home Address Change
C23	Reallocation, same grade & salary	M34	Work Address/Phone Change
C24	Reallocation, lower grade & salary	M35	Race/Sex Status Change
C25	Reallocation, higher grade, same salary	M36	Birth date Change
C31	Grade Change, higher salary	M38	Home County Change
C32	Grade Change, same salary	M39	State/Local Tax Code Change
E11	Voluntary Transfer	M41	Temporary Overlap
E12	Voluntary Transfer, same cab., diff dept.	S11	Return from Military Leave
E13	Transfer with diff. title, same cab., dept.	S16	Return from Sick Leave
E14	Transfer with diff. title, same cab., diff. dept.	S31	Return from Suspension
E21	Prom, higher grade, increase added to base	W11	Military Leave Without Pay
E24	Ingrade Promotion, salary & grade no change	W16	Sick Leave
E31	Vol. Demotion, lower grade, same salary	Y1-	Resignation
E32	Vol. Demotion, lower grade, lower salary	Y20	Resignation to Move
E33	Demotion, same grade & salary	Y21	Resign to be reappointed (diff agy)
E41	Reorg., Executive Order	Y22	Resignation - Other
E42	Reorg., Administrative Order	Y24	Resign to be reappointed (same agy)
E43	Reorg., Legislation	Y25	Resign, accept w/ prejudice
E71	Establish Position	Y31-Y35	Retirement
E72	Abolish Position	Y4_	Dismiss
E81	Position # Change (Correct/redo Pos. #)	Y5_	Dismiss from Suspension
E82	Position # Change (Other)	Y6_	Layoff
G11	Six-month probationary increment	Y71	Death
G12	Six-month non-merit increment		
G13	Annual increment only, merit and non-merit		
G21	Promotional Increase		
G31	Educational Increase		
G41	Add Shift/Weekend Premium		

Why is XP a High Performance P-1 Processing System?

The process represents a high performance system of personnel action preparation and processing. That is, P-1 processing speeds can be increased substantially while achieving even greater accuracy levels in the initial preparation of P-1s. One of the reasons for this is because of the on-line edit capabilities which notifies the preparer immediately of certain types of problems. For example, you will automatically be told that certain types of actions cannot be done together, or that certain fields require completion for a particular type of action. And there are some areas in which the computer just won't let you make a mistake. For example, once the SSN is entered on-line, you are automatically presented all other identifying information for that employee without further ado (such as name, address, grade and class code).

There are now approximately 200 on-line edits for the Express P-1 Processing System. This will allow you to correct the P-1 which you have just entered. The highlighted error message will appear at the bottom of the screen and will tell you just exactly what is incorrect about the action you have just tried to enter.

Transmission (i.e., messenger) and other such "wait state" time is in effect eliminated. And that is where most processing time is consumed.

Elimination of messenger time also reduces a security problem that some agencies have complained of--the P-1 goes through several hands and affected employees often are informed of a final personnel action before the supervisor can sit down with the employee personally and discuss the P-1. There's also a lot less chance of losing the P-1.

The XP System eliminates the need for you to know a lot of technical reference material to prepare a P-1. For example, the computer automatically tells you which particular fields on the P-1 need to be completed for a given action. No checking of tables, etc. is needed. Extra work is eliminated because the person preparing the P-1 sometimes types extra fields on the P-1 even though they are not needed for that particular type of action.

You don't have to spend time in your files looking for the most recent turnaround P-1. This means there's no problem of accidentally sending Personnel the wrong (old) turnaround P-1.

Special Security Procedures are Required Prior to Authorized Use of XP System.

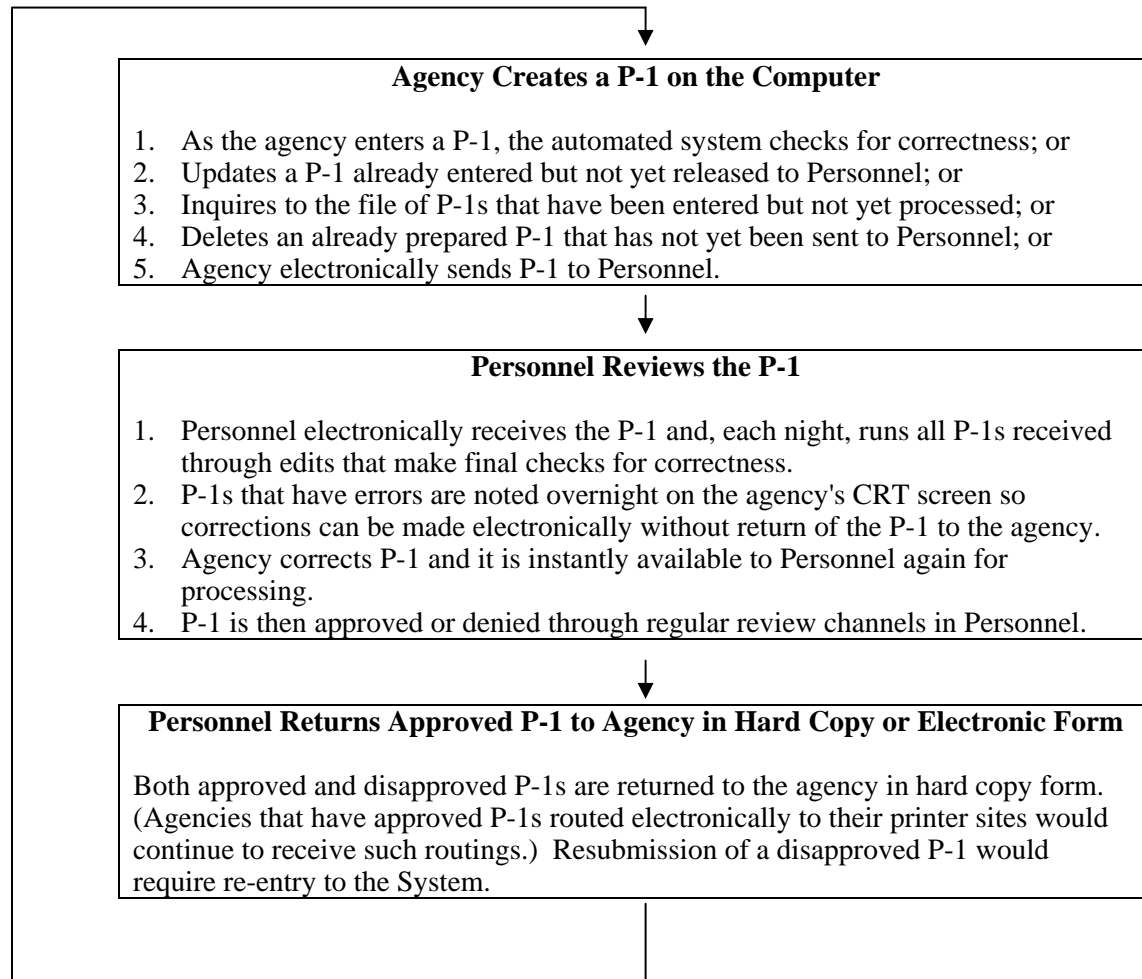
Machine-generation of P-1s is not new. For example, for several years we have used the computer to machine-generate grade changes and annual increments. One signature or signature stamp has served to authorize the electronic production of these and other types of actions.

In the XP System, however, our requirements are much more stringent. We limit use of the system to particular terminals. Also, the system requires a security identification number be assigned to each individual assigned to use the system. Finally, each person authorized by the agency to type a P-1 on the terminal must have a unique password. And the password must be changed periodically to avoid any possible security breaches.

The above information must be specified to the Personnel Cabinet by the appointing authority or his designee in advance of that agency's use of the XP System. (Note, for comparison purposes, that for many years agencies simply provided a signature stamp to a staff person without elaborate security procedures such as those required here.) Change in the identifying information as defined to the XP System must be approved by the Personnel Cabinet. Presently, the specific responsibility for such approval is assigned by the Director, Division of Employee Records.

If an appointing authority or designee wishes to have an internal document that he or she can review prior to initiation of the action, the turnaround P-1 may be used for that purpose. (It will be seen later that the turnaround P-1 is not needed within the XP System, when submitting an action to the Personnel Cabinet.)

Basics of How the System Works



Creating and Sending P-1s to the Personnel Cabinet Electronically

PE08
03/23/94

COMMONWEALTH OF KENTUCKY
PERSONNEL CABINET

PERDE07
13:02:53

REQUEST FOR PERSONNEL - POSITION ACTION

Type an 'X' before the procedure you wish to use

- _ Add (Create) a P-1
- _ Change a P-1
- _ Look at a P-1
- _ Delete a P-1

Press Enter to Proceed

Press Clear to End

Press Pf10 to Return to Menu

1.
 - A. If you are creating a P-1, type an "X" in the field in front of ADD.
 - B. If you just want to change one or more P-1s previously created, type an "X" in front of CHANGE.
 - C. If you wish to look at one or more P-1s previously created, type an "X" in front of LOOK AT A P-1.
 - D. If you wish to delete one or more P-1s previously created, type an "X" in front of DELETE A P-1.
2. Press enter and wait for the next screen, or you may clear the screen to end processing.

- D. Type in the effective date of the action (MMDDYY).

- E. Enter the Position number: Division, Branch, Section, Unit, Serial (the cabinet and department portion of this number are entered previously).
- F. Next, enter up to four of any of the Nature of Action Codes listed on the screen. Nature of Action Codes not shown on this screen cannot be used to electronically send P-1s. Use the manual method to send P-1 action types not shown.

Key Information Screen

NATURE OF ACTION CODES AVAILABLE (MORE ON NEXT PAGE)

POSITION NUMBER

E11 Voluntary Transfer
E81 Position # Change (Correct/Redo Pos #)
E82 Position # Change (Other)

WAGE ADJUSTMENT

G13 Increment Only
G21 Promotional Increase
G31 Educational Increase
G41 Add Shift
G42 Stop Shift
G61 Chg Pay Type - Hourly to Salary
G62 Chg Pay Type - Salary to Hourly

NAC_ _ _ _

Clear=End Enter=P1 Pf4=Doc Pf5=Procedure Pf8=Forward Pf9=Key Info Pf10=Menu

- G. Press the enter key and wait for the next screen (First P-1 Screen), or you may clear to end processing, or you may press the PF Key 11 or 23 to go back to the Security Screen.

If you pressed the enter key, the First P-1 Screen appears, as follows:

First P-1 Screen

Page 1	REQUEST FOR PERSONNEL - POSITION ACTION				PE08 PERDE11	
Type	Cb/Dp	Employee #	Eff Dt	Position #		
1	32520	0 404384754	07/03/86	03-02-04-00-012		
1-Last Name		2-First Name	3-M Dual	4-SS#	5-Race	6-Sex
01F DOE		JOSEPHINE	X 0	404 38 4754	0	F
T *****		*****	*			
7-Box-Apt		8-Street/Rt #	9-City	10-St	11-Zip-plus	
02F P.O. BOX 12		143 WEST MAIN	FRANKFORT	KY	40601 1424	
T *****		*****	*****	**	*****	
12-Eff Dt		13-Nature/Action	14-Description for Nature of Action			
03F						
T 07/03/86		M32 M33 M38	NAME CHG HOME ADDR HOME CO			

THE CLEAR, PF3, OR PF5 KEY WILL NOT UPDATE THE RECORD.

Clear=End Enter=Fwd Pf4=Doc Pf5=Procedure Pf9=Key Info Pf10=Menu Pf12=Add Record

Clear=End Enter=Fwd Pf4=Doc Pf5=Procedure Pf7=Bwd Pf9=Key Info Pf10=Menu Pf12=Add Record

- B. Or, press PF Key 12 or 24 to add the P-1 to the file. If there are more fields to be entered on other screens, you cannot add the P-1 until they are entered.
 - C. Or, clear the screen to end processing. The P-1 will not be added to the file and you will lose all data for the P-1 that you have keyed in.
 - D. Press PF Key 5 or 17 to return to the Security Screen. The P-1 will not be added to file and you will lose all data for the P-1 that you have keyed in.
 - E. Press PF Key 9 or 21 to go back to the Key Information Screen. The P-1 will not be added to file and you will lose all data for the P-1 that you have keyed in.
6. If you pressed enter, the Second P-1 Screen will come up. Type in the appropriate fields as you did on the previous screen.
- NOTE: When entering dollar amounts (salary), do not use the space bar. You may, however, use the cursor position keys (←, →, ↑, ↓).
7. When all appropriate fields have been entered, choose one of the following actions:
- A. Press enter key to proceed to the Third P-1 Screen to enter more information.
 - B. Press PF Key 12 or 24 to add P-1 to the file. If there are more fields to be entered on the next screen, you cannot add the P-1 until they are entered.
 - C. Press PF Key 7 or 19 to scroll back to the previous screen.
 - D. Clear the screen to end processing. The P-1 will not be added to file and you will lose all data for the P-1 that you have keyed in.
 - E. Press PF Key 5 or 17 to return to the Security Screen. The P-1 will not be added to file and you will lose all data for the P-1 that you have keyed in.
 - F. Press PF Key 9 or 21 to go back to the Key Information Screen. The P-1 will not be added to file and you will lose all data for the P-1 that you have keyed in.)
8. If you pressed enter, the Third P-1 Screen will come up. Type in the appropriate fields as you did on the two previous screens.

Third P-1 Screen

Page 3

REQUEST FOR PERSONNEL - POSITION ACTION

PE08

PERDE13

Type	Cb/Dp	Employee #	Eff Dt	Position #	Nature/Action Codes								
1	32520	0 404384754	07/03/86	03-02-04-00-012	M32 M33 M38								
	34- Reg Num	35- Work Comp	36- Prv Srv	37- Shft Code	38-2nd Shft Amt	39-3rd Shft Amt	40 St	41- Loc Tax	42- Work Week	43- Ot Cde	44- Work Cnty	---45----- Work Area	Phone
07F T											037		
		46-Work Street					47-Work City			48-Work State		49-Work Zip - plus	
08F T													

THE CLEAR, PF3 OR PF5 KEY WILL NOT UPDATE THE RECORD.

Clear=End Pf5=Procedure Pf7=Bwd Pf8=Key Info Pf10=Menu Pf12=Add Record

9. When all appropriate fields have been entered and any errors corrected, choose one of the following procedures:
 - A. Press PF Key 12 or 24 to add P-1 to the file. The P-1 will be added and the Key Information Screen will appear with a message at the bottom saying P-1 was added. You can now begin to enter another P-1 by pressing the appropriate PF Key, or you can end processing.
 - B. Press PF Key 7 or 19 to scroll back to the previous screen.
 - C. Clear the screen to end processing. The P-1 will not be added to file and you will lose all data for the P-1 that you have keyed in.
 - D. Press PF Key 5 or 17 to return to the Security Screen. The P-1 will not be added to file and you will lose all data for the P-1 that you have keyed in.
 - E. Press PF Key 8 or 20 to go back to the Key Information Screen. The P-1 will not be added to file and you will lose all data for the P-1 that you have keyed in.

How to Correct (Change) the P-1 if an Error is Found in the Batch Process

1. The P-1s you created during the day will go through an additional checking (editing) process at night. This is called the batch process. Some errors may not be detected until this point. P-1s without errors will not be shown on the Error Status Screen the next day. If an error is found at this time, the P-1 will be put on the Error Status Screen the following day with the word "Error" on the left side of the screen under the heading "Status."
2. You must bring up the Error Status Screen to correct (change) the P-1 in error. Select CHANGE on the Security Screen and wait for the Error Status Screen shown below to appear.

Error Status Screen

PE08		REQUEST FOR PERSONNEL - POSITION ACTION										PERDE09	
03/23/94												13:04:46	
		Company		Employee/		Last Name/							
Status	Sel	Type	Number		Position	#	Initials	Eff	Date	Action			
Codes													
ERROR	A	1	39795	0	404-96-1677	0	JONES	IL	07/01/86	W11			
	B	2	42360	0	299-32-3244	0	SMITH	JK	07/01/86	W11			
CHANGED	C	2	36530	0	412-33-2548	0	MOORE	DK	07/12/86	M27	M26		
	D	1	32520	0	404-38-4754	0	LOWRY	BL	07/03/86	M32	M33 M38		
	E	1	38735	0	409-52-7545	0	NICE	BH	07/01/86	M36			
	F												
	G												
	H												
	I												
	J												
	K												
	L												
	M												
	N												
	O												

Please type letter of P-1 you would like to UPDATE _

Clear=End Enter=Update Pf4=Doc Pf5=Procedure Pf7=Bwd Pf8=Fwd Pf10=Menu

3. P-1 Status: This screen will show P-1 identifying information for three different statuses:
 - a. Error: the P-1 was checked by batch programs last night and there are one or more errors that you must correct.
 - b. Changed: the P-1 you corrected today has now been changed but has not been processed. This is to help you remember which P-1s you've corrected.

- c. No entry: the P-1 was just entered today and will be processed tonight. You can access and correct (change) this P-1 if you like. Any P-1 referenced on this screen can be changed as many times as needed.

If there are more P-1s than can be listed on one screen, you can scroll forward by pressing PF Key 8 or 20. You can scroll backward by pressing PF Key 7 or 19.

4. When the key information for the P-1 you wish to process is shown on the screen, type in the letter which is in front of the selected P-1 under the heading "Sel". Press enter and wait for next screen.
5. If the P-1 you selected is shown as having an error, the next screen shown will be the Error Message Screen shown below. This screen shows the specific error message that relates to the P-1. You must then decide what change or changes to make on the P-1 to correct the error(s). Then, press enter to look at the P-1 information. The First P-1 Screen for this P-1 will then appear. You may scroll back and forth among the First, Second and Third P-1 Screens by using PF Keys 8 (or 20) and 7 (or 19). And, you may return to the Error Message Screen from the First, Second, or Third P-1 Screens by pressing PF Key 6 or 18.

Error Message Screen

PE08	Request For Personnel - Position Action			PERDE10
03/23/94	Errors			13:07:08
Type	Company	Employee/Position #	Effective Date	Action Codes
1	39795	0 404-96-1677 0	07/01/86	G13

637 TITLE AND GRADE SHOULD NOT CHANGE WITH THIS ACTION

Press Enter Key to UPDATE This P-1

Clear=End ENTER=UPDATE Pf3=Status Pf5=Procedure Pf7=Bwd Pf8=Fwd Pf10=Menu

6. Once you have made the necessary correction(s) on the P-1 Screen, to actually update the record, you must press PF Key 12 or 24 after making changes.

You may not change any information on the Key Information Screen. If any key information is incorrect, you will need to delete and re-key the P-1.

7. After updating a P-1 referenced as having an error, the word "Error" on the Error Status Screen will be changed to "Changed." This is to help you remember which P-1's you have already attempted to correct.

How to Look At a P-1 or Delete a P-1.

Either of these processes use the same screens as described above.

1. To delete a P-1:
 - A. Select "Delete" on the Security Screen.
 - B. When the Error Status Screen appears, the message will ask you to enter the letter corresponding to the P-1 you wish to delete.
 - C. Once you enter the letter, that P-1 will appear on the screen. You then press the PF1 or PF13 key to delete the P-1 from the XP System.
2. To look at a P-1:
 - A. Select "Inquire" on the Security Screen.
 - B. When the Error Status Screen appears, the message will ask you to enter the letter corresponding to the P-1 you wish to view. Enter the appropriate letter and that P-1 will appear. Scroll to the second and third screens using the PF9 or PF21 and PF7 or PF19 keys.

XP System Can Have Separate Points of Electronic P-1 Approval

A Cabinet can have two or more points of electronic P-1 approval. An office separate from the central cabinet office can enter, edit, and finalize the P-1. Then the central office can make itself the final approval point for submitting the P-1 to the Personnel Cabinet after proper and complete security procedures.

This means, for example, a P-1 could be entered in an office in Lexington and approved minutes later by an office in Frankfort. Only then is it electronically submitted to the Personnel Cabinet.

This provides several processing options to an agency, from having all P-1s come out of one office to allowing sub-departments create their own P-1s but approve all of them at one location. This system even allows a cabinet to selectively allow sub-units to prepare just "routine" P-1s such as resignations and retirements. Then "non-routine" P-1 preparations could be reserved for themselves. The process represents an excellent vehicle for the delegation of work, while continuing to maintain proper controls of document flow. The software is structured to provide an agency with a guaranteed document flow. (Present manual systems used by some agencies cannot provide such guarantees.)

Even with these new capabilities, some agencies prefer to start using XP by entering and approving all P-1s themselves, then later switch to multiple entry stations.

Agencies that wish to discuss the new capabilities of the XP System should contact Carolyn Bruce at 502-564-6873.

All P-1s must, of course, be approved by the agency (i.e., appointing authority). An agency may choose to approve certain "routine" actions as a group, rather than one-at-a-time.

The P-1s that may be approved as a group are as follows:

E72	Abolish	W16	Sick Leave
G13	Increment	Y1_	Resignations
M_ _	Miscellaneous (except for M22, M24, M41)	Y20	Resign-Moving
S11	Return from Military Leave	Y22	Resign-Other
S16	Return from Sick Leave	Y3_	Retirements
W11	Military Leave W/O Pay	Y71	Death

These actions need cabinet approval (non-routine):

C11	Reclass	G21	Promotional Increase
C2_	Reallocation	G31	Educational Increase
E1_	Transfers	G4_	Shift/Weekend Premium
E21	Promotions	G6_	Pay Type Change
E3_	Reorgs	M22	Employment Type
E4_	Reorgs	M24	Work County Change
E8_	Position # Changes	M41	Temporary Overlap

All other P-1s have to be approved individually.